



Dear Prospective Applicant,

Thank you for your interest in the Indiana Office of Energy Development (OED) 2011 Energy Efficiency for Water Treatment (EEWT) program. EEWT is a program that offers financial assistance to government-owned Water Treatment Facilities for projects that reduce a facility's energy consumption. EEWT grants provide funding of up to \$100,000 for the installation of highly efficient pumps, motors, and blowers.

This document is intended to provide guidance and assist in completing the accompanying application. Included in this guidance are the EEWT Guidelines, Awardee Responsibilities, and Terms and Conditions.

EEWT applications may be submitted electronically anytime between August 12, 2010 – October 29, 2010. All applications will be reviewed competitively following the close of the grant application period on October 29, 2010. You will be notified if any information is missing or if more information is required for a complete analysis during the review process. Please be aware that complete applications will be given preference over applications with questions, so try to be as detailed as possible. The review process is expected to only take a few weeks.

Please address all correspondence to:

Indiana Office of Energy Development  
Attn: John T. Deahl  
One North Capitol, Suite 600  
Indianapolis, IN 46204

Sincerely,

John T. Deahl  
Energy Efficiency Program Manager  
[jdeahl@oed.in.gov](mailto:jdeahl@oed.in.gov)

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## **I. Introduction**

Energy efficient retrofits of existing structures help conserve energy and manage costs. In a time of rising energy costs and increased energy supply volatility, it is vital to our economic future to decrease energy consumption and lower long term energy costs. To support these efforts, the Indiana Office of Energy Development is soliciting applications for the EEWT program from eligible Water Treatment Facilities for the implementation of energy efficient projects. Projects must use commercially available technologies that reduce energy consumption, reduce petroleum consumption, reduce costs and reduce emissions.

The purpose of the EEWT Program is to assist eligible entities in creating and implementing strategies to:

- increase energy efficiency, reduce energy consumption and reduce energy costs through efficiency improvements;
- reduce fossil fuel emissions in a manner that is environmentally sustainable and, to the maximum extent practicable, maximizes benefits for local and regional communities;
- create new jobs and increased productivity to spur economic growth and community development;
- educate and facilitate public awareness on the value of energy efficiency

OED has approximately \$350,000 available for selected awardees. The minimum award amount considered will be \$25,000, and the maximum award amount will be \$100,000. Only one proposal may be submitted by an Applicant. Minimum cost share is required and must at least 50% of the total project cost. See *Eligibility Guidelines* for additional information.

## II. Program Requirements

### Funding Objectives

With this grant opportunity, OED is seeking applications which:

- Prioritize energy efficiency and/or energy conservation;
- Move beyond the planning stage with projects that are ready for implementation;
- Maximize the creation and/or retention of jobs in the United States.

### Eligible Applicants

Eligible applicants are government-owned water treatment facilities. If ownership is in question, please be prepared to provide the necessary documents. If plant management is contracted out but the government entity still owns the property and pays the energy bills, the project is still eligible.

### Eligible Projects

The OED encourages applicants to focus on pump and motor efficiency but other projects will be considered if they compete in energy reduction. Please be aware that any waste recovery methods such as digesters will require some more paperwork after awarding due to the environmental nature of the project. Please do not let this discourage your entity from applying for our grant. If you have further questions on this matter, please do not hesitate in contacting John Deahl, [jdeahl@oed.in.gov](mailto:jdeahl@oed.in.gov).

*All proposed projects must meet all of the following criteria:*

- ☐ Project must be located in Indiana.
- ☐ Project must meet one or more of the following criteria:
  - Demonstrate measurable improvements in energy efficiency;
  - Result in a reduction in energy demand;
  - Implement an energy recycling process, such as waste-heat recovery.
- ☐ Project must use existing reliable, commercially-available technologies such as energy efficient pumps, blowers, and motors.
- ☐ Anaerobic digester projects are eligible pending NEPA approval. To be considered, projects must not exceed 100kW and must take place within current facility

boundaries. Clear documentation must be presented in the application regarding specific use, size, and the building footprint.

- ☐ Eligible costs and cost-share must occur following award (tentatively October, 2010), but before April 30, 2011. Projects that begin prior to award or that will not be completed by April 30, 2011 are not eligible for grant funding.
- ☐ Project costs must be a minimum of \$50,000 as the minimum grant is \$25,000.
- ☐ Grant requests are not to exceed \$100,000
- ☐ All applicants must be in compliance with state and federal rules and regulations. To find out what permits may be necessary for your facility, visit the IDEM Permit Wizard at <http://www.in.gov/idem/4218.htm>.

### **Cost Share**

Applicants are expected to submit financial proof (i.e. bank statement, letter from bank confirming line of credit, grant award, etc) that demonstrates the ability of the applicant to provide cost-share. Failure to do so may result in an applicant being deemed ineligible to receive grant funding. Additionally, applicants must show proof of availability of funds for all project costs as this program is paid in reimbursement only. Therefore, if the applicant has a \$100,000 total project and the cost share funds equal \$50,000, the applicant must still show proof of having \$100,000 available to pay for project costs. While applicants should use the online Grant Management System to upload financial proof, OED will accept paper copies at the applicant's request. Applicants interested in submitting financial documentation via mail should contact the program manager, John Deahl ([jdeahl@oed.in.gov](mailto:jdeahl@oed.in.gov)).

### **III. Application Process**

Only complete applications will be allowed to be submitted. The application must be completed and submitted through OED's online grant management system at: <https://extranet.in.gov/oed/grants/Default.aspx>. Applications submitted through other means will not be accepted. Only financial documents may be submitted via mail.

The grant management system will request several attachments to be uploaded. Please include only one attachment per section. For example, if you are asked to provide equipment information, it should be in one .pdf file, even if there are multiple pages. Please see the *Application Attachments* for additional information.

Only one application per applicant will be accepted.

The applicant is responsible for all costs and expenses associated with submitting this proposal. Administrative costs, such as those related to grant writing, project management, and grant reporting, will not be reimbursed.

OED may request additional information after submission from an applicant to further evaluate an application. Failure to adequately address the request will cause OED to score the application as is, which could affect an applicant's overall score and/or eligibility.

OED expressly reserves the right to modify or withdraw this request for applications at any time, whether before or after applications have been submitted.

#### *Professional Engineer*

A licensed Professional Engineer (P.E.) must approve the estimates underlying the calculations on the Energy Worksheet. Failure to do so may result in an Applicant being removed from consideration for grant funding.

#### *NEPA*

All projects receiving financial assistance from DOE must be reviewed under the National Environmental Policy Act (NEPA) of 1969-42 U.S.C. Section 4321 et seq. If selected for potential award, OED will work with the applicant to facilitate the NEPA review.

### *DUNS Number*

All applicants must have a DUNS number to be eligible. If your organization does not have a DUNS number, go to the Dun & Bradstreet (D&B) online registration located at <http://fedgov.dnb.com/webform/displayHomePage.do> to receive a number free of charge or call 1-800-234-3867. Please be aware that this process may take up to 10 days. If you are not in receipt of a DUNS number at the time of application, you must submit it to the program manager within 7 days of application. Failure to do so may result in loss of eligibility for grant funding.

### *Buy American*

OED encourages, but does not require, that all products and materials purchased with funds be manufactured or assembled within the United States and be sourced locally.

### *Jobs Created and/or Retained*

Calculating jobs created/retained is done in terms of Full-Time Equivalent (FTE) Please calculate the number of work hours required to complete this project by all contractors and vendors involved and use the formula below to determine the project's FTE.

$$\text{FTE} = \frac{\text{Number of hours required to complete project}}{520}$$

## **IV. Attachment Guidelines**

### **Attachment A: Project Summary**

The project summary/abstract must contain a summary of the proposed activity suitable for dissemination to the public. It should be a self-contained document that identifies the name of the applicant, the project director(s), the project title, the objectives of the project, a description of the project, including methods to be employed, the potential impact of the project (i.e., benefits, outcomes), and major participants (for collaborative projects). This document must not include any proprietary or sensitive business information, as OED may make it available to the public.

The project summary must not exceed 1 page when printed using standard 8.5" by 11" paper with 1" margins (top, bottom, left and right), single spaced, with font not smaller than 12 point. Save this information in a file named "A\_Name of Applicant.pdf," and upload to application through the Grant Management System.

### **Attachment B: Project Narrative**

Please provide a narrative summary of the proposed project. The project narrative must not exceed 20 pages, including charts, graphs, maps, photographs, and other pictorial presentations, when printed using standard 8.5" by 11" paper with 1 inch margins (top, bottom, left, and right), single spaced, 12 point font. Save this information in a file named "B\_Name of Applicant.pdf," and upload to application through the Grant Management System.

The project narrative must include:

- Project Objectives – This section should provide a clear, concise statement of the specific objectives/aims of the proposed project.
  - Define the goals and objectives of the project.
  - Describe how the proposed work plan will successfully meet the project goals and objectives.
- Project Activities – This section should outline the proposed project activities.
  - Discuss general condition, use, and location of building or complex where project is proposed.
  - Include a discussion of costs and financing arrangements.



- Provide rationale for and description of the technologies selected.
- Provide exact description of project activities (i.e. number of pumps proposed, number and efficiency of existing and proposed motors, etc.)
- Project Plan and Timetable – This section should outline as a function of time, year by year, all the important activities or phases of the project, including any activities planned beyond the project period.
  - Describe the project work breakdown structure including major task descriptions, major milestones, decision points, deliverables and outcomes and a project schedule.
  - Describe how the proposed project organization and approach will facilitate success.
- Relevance and Outcomes/Impacts – This section should explain the relevance of the effort to the objectives in the program guidelines and the expected outcomes and/or impacts, including energy savings and cost savings. The justification for the proposed project should include a clear statement of the importance of the project in terms of the utility of the outcomes and the target community of beneficiaries. This section should also connect this proposed project to a comprehensive description of other energy efficiency efforts undertaken by the applicant.

### **Attachment C: Budget**

Please provide a project budget that details total project costs and costs by vendor with subcategories for equipment, labor, engineering, and site preparation. Use the template "Vendor Quotes Template", which can be found at <http://www.in.gov/oed/2613.htm>. Save this information in a single file labeled "C\_Name of Applicant.pdf," and upload to application through the Grant Management System.

### **Attachment D: Quotes**

Please provide a quote from each project installer and/or contractor to support your budget and grant request. Each quote needs to be on the company's letterhead. Please note that project management costs are not an eligible, reimbursable cost. Save this information in a single file labeled "D\_Name of Applicant.pdf," and upload to application through the Grant Management System.

### **Attachment E: Project Calculations**

Please document the calculations and assumptions made to calculate the energy savings and payback of the proposed project. If applicable, please provide a copy of the energy survey or audit that was used to inform calculations and project decisions. Save this information in a single file labeled "E\_Name of Applicant.pdf," and upload to application through the Grant Management System.

### **Attachment F: Energy Conservation Strategy**

The process of becoming more energy efficient should not be limited to a one-time capital expenditure. Please provide a summary outlining your organization's current or planned energy conservation strategy or sustainability initiatives. Save this information in a single file labeled "F\_Name of Applicant.pdf," and upload to application through the Grant Management System.

### **Attachment G: Signature Page**

Please provide as an attachment (titled: G\_ Name of Applicant) a signed copy of the signature page. To do this, print out, sign, and scan into a .pdf document the EEWT Certifications and Assurances document located at: <http://www.in.gov/oed/2613.htm>. Save this document in a single file labeled "G\_Name of Applicant.pdf," and upload to application through the Grant Management System.

### **Attachment Summary**

Complete grant applications will include all of the following supporting materials:

- ☐ Attachment A: Project Summary (labeled: A\_Name of Applicant)
- ☐ Attachment B: Project Narrative (labeled: B\_Name of Applicant)
- ☐ Attachment C: Budget (labeled: C\_Name of Applicant)
- ☐ Attachment D: Quotes (labeled: D\_Name of Applicant)
- ☐ Attachment E: Project Calculations(labeled: E\_Name of Applicant)
- ☐ Attachment F: Energy Conservation Strategy (labeled: F\_Name of Applicant)
- ☐ Attachment G: Signature Page (labeled: G\_Name of Applicant)

## **V. Award Process**

### *Evaluation Criteria*

Applications shall be considered for grant funding by OED. The following criteria, among others, will be considered during the administrative and technical review:

- Energy savings
- Energy cost savings
- Grant experience
- Jobs created and/or retained
- Ability to start and complete project within the timeframe specified in this document

### *Awards*

OED anticipates awarding between 4-13 grants through the EEWT program. OED expects to notify awardees approximately 4 weeks following the close of the grant application period.

Please be aware that partial funding can be awarded, and applicants awarded partial funding may not appeal the decision made by OED.

If awarded, the applicant must inform OED of refusal of funds within three days from original notification of award. Failure to notify OED of the refusal of funds will result in the applicant becoming ineligible for further application for grant funding.

Grant recipients may receive fifty percent (50%) of the total project cost through reimbursement from the state. This means that after the Agreement has been executed through the state signature process the Grantee may incur grant related expenditures, submit the appropriate reimbursement documentation to OED, and be reimbursed for 50% of the amount of the qualified paid invoices submitted. Appropriate documentation must include an invoice for related expenditures with a zero balance remaining.

## **VI. Awardee Responsibilities**

While the below responsibilities, terms, and conditions are not exhaustive and intended to substitute for the awardee reading and understanding of the contract between their entity and the State of Indiana, they provide an example of the behavior and deliverables expected by OED and the U.S. Department of Energy.

### **Reporting Requirements**

The following will be collected from each recipient:

- One DOE report each quarter
- Final report due thirty days after grant's expiration

Quarterly reporting will commence within three months of award. Reporting will be done electronically and a valid email address is a required attribute of the applicant.

The report will detail activities/results such as timelines, budget information including grant monies received, the items listed below, and a narrative on the project's progress. These results/activities are provided by the grant recipient in the form of monthly and quarterly reports, which are due to OED within 15 days following the end of each quarter. A final progress report will be due. This final report will summarize all aspects of the project. The reports will be used to track progress made by the grant recipient and to report to the U.S. Department of Energy.

The specifics of reporting timelines and requirements will be explained further in the contract signed by the applicant upon award. Please see the table below for a list of potential reporting requirements:

Jobs created/retained *
Funds Leveraged
Buildings retrofitted
Square footage of buildings retrofitted
Energy Savings
Energy Cost Savings
Greenhouse gases reduced (CO2 equivalents)*
Criteria air pollutants reduced (CO2 equivalents)*

\* If awarded, awardees will be provided with guidance on how to calculate these metrics.

Failure to comply with the reporting requirement by report tardiness or failure to provide

sufficient information may result in repayment of the grant funds as well as affect the viability of any future applications from the grantee. **Please seriously consider the reporting requirements before application submission to ensure your ability to comply.**

### **Maintain Communication**

The grant recipient shall maintain communication with the Office of Energy Development for the duration of the grant agreement. The grant recipient is obligated to report any changes in the project scope, budget, installation date etc. with OED as soon as they become aware of the changes. Failure of the grant recipient to report any changes in the activities, scope, or budget of their project once awarded constitutes a breach of contract on the part of the grant recipient and will jeopardize the receipt of grant monies. The grant recipient shall acknowledge the financial support of OED by displaying the logo of OED on any webpage, media, or printed materials that mention the project.

### **Site Visits**

The grant recipient shall allow OED to conduct project site visits when given (5) business days notice.

### **Tax Liabilities**

The grant recipient must be current on all tax liabilities owed to the Indiana Department of Revenue or the Indiana Department of Workforce Development prior to the award being finalized. OED encourages applicants to contact these agencies to determine your status prior to applying.

### **Modifications**

Awardees must report to OED immediately if there is a change to the previously proposed activities, scope, or budget changes. The communication must occur prior to the modification and provide a rationale for proposed changes.

### **Additional resources**

With support from the Indiana Office of Energy Development, Purdue's Technical Assistance Program has designed an Energy Efficiency & Sustainability (EES) program to help companies improve processes and develop energy management practices through workshops, on-site training, awareness events, implementation and consulting services. Companies and communities seeking technical assistance should visit [http://www.mep.purdue.edu/prod\\_services/greenEnergy.aspx](http://www.mep.purdue.edu/prod_services/greenEnergy.aspx).

## **VII. Appendix A: Terms and Conditions**

### **Award Approval**

OED administers the EEWT program and will review and score all grant applications. All grant applications submitted will be scored competitively against one another for grant funding.

If the applicant is approved by OED, a grant agreement will be drafted in order to establish the terms of the grant and other conditions needed to manage the grant. Upon award notification, OED expects awardees to immediately begin their project by ordering equipment associated with the project as well as preparing the site of the project and obtaining any relevant permits or variances necessary for project installation to be completed. Once the awardee receives and returns the originally signed grant agreement, the agreement will begin the State's signature process, which can take up to 8 weeks for completion. Upon completing the State signature process, the award recipient may draw down on grant funds by seeking reimbursement as the project is completed. Do not wait until the executed contract is returned to start project activities, as the process can significantly delay your project. Delay in contract execution is not an allowable reason for an awardee's failure to complete project installation by the deadline stipulated in the contract. Any costs incurred in this period are at the awardee's risk if the agreement is not signed and returned in this time period, no reimbursement will be made to awardee and all funds will be de-obligated.

Please see the above section entitled *Awardee Responsibilities* for further information on terms and conditions needed to manage the grant.

### **Confidentiality of Information**

To the extent feasible and permissible by law, the Office of Energy Development (OED) will honor an applicant's request that confidential information submitted to OED will remain confidential. OED will treat information as confidential only if: (i) the information is, in fact, protected confidential information such as trade secrets or privileged or confidential commercial or financial information; (ii) the information is specifically marked or identified as confidential by the applicant; (iii) the information is segregated and placed in a separate appendix to the application; and (iv) no disclosure of the information is required by law or judicial order. If the application results in award of a grant, the honoring of confidentiality of identified data shall not limit the right of OED to disclose the details and results of the grant to the general public. Each and every page containing proprietary data must be clearly identified and marked CONFIDENTIAL.

## **Indemnification**

To the extent allowable by law, Applicant agrees to indemnify, defend, and hold harmless the State, its agents, officials, and employees from all claims and suits including court costs, attorney's fees, and other expenses caused by any act or omission associated with the submission of this application. The State shall **not** provide such indemnification to the applicant.